

2016-17 Title I School Improvement Grant - Section 1003(a)

Basic School Improvement Grant Application

Purpose of Allocation

Section 1003(a) of the Elementary and Secondary Education Act (ESEA) requires that State Education Agencies allocate funds to Local Education Agencies (LEAs) for Title I Priority and Focus Schools to meet the progress goals in their District Comprehensive Improvement Plan and School Comprehensive Education Plan(s) (DCIP/SCEP) and thereby improve student performance.

These funds are to be used to support implementation of school improvement activities as required in the ESEA flexibility waiver. More information regarding the flexibility waiver can be found at: www.p12.nysed.gov/accountability/ESEAFlexibilityWaiver.html.

Eligibility

Title I Focus Districts and Districts with Title I Local Assistance Plan (LAP) Schools are eligible to apply for this grant. Title I Focus Districts, Title I Priority Schools, Title I Focus Schools and Title I LAP Schools that were identified as of February 26, 2016 and did not subsequently successfully appeal their designation are eligible for funding. The list of identified districts and schools is online at: www.p12.nysed.gov/accountability/ESEADesignations.html.

Title I Districts that were identified as a Focus District and Title I schools identified as a Priority or Focus School as of September 1, 2015 and subsequently removed from that status will remain eligible for funding during the 2016-17 school year. Only Title I schools providing instruction to students during the 2016-17 school year are eligible for an allocation.

The following districts/schools are **not eligible** for the Section 1003(a) Basic School Improvement Grant: Non-Title I Focus Districts; Non-Title I Priority Schools; Non-Title I Focus Schools; Non-Title I Local Assistance Plan Schools; Priority Schools receiving a 1003(g) School Improvement Grant, School Innovation Fund Grant, Title I Socioeconomic Integration Pilot Program, or Receivership Grant; 2015-16 Title I LAP Schools removed from that status for 2016-17; and Focus or Priority Charter Schools.

Funding

Title I Focus Districts identified for 2016-17 will receive the following allocation(s):

- Title I Focus District: \$50,000 per district
- Title I Priority School: \$75,000 per school
- Title I Focus School: \$50,000 per school
- Title I LAP School: \$20,000 per school

Title I Districts in Good Standing with Title I LAP Schools are eligible to apply for a LAP School allocation, but are not eligible for a district allocation. Each Title I Local Assistance Plan School identified for 2016-17 will receive the following allocation:

- Title I LAP School: \$20,000 per school

Title I Focus Districts identified in 2015-16 that have been removed from that status in 2016-17 will receive the following allocation(s):

- Title I Focus District: \$50,000 per district
- Title I Priority School: \$75,000 per school
- Title I Focus School: \$50,000 per school

Please Note: If a school meets the criteria for two different allocations due to changing accountability from 2015-16 to 2016-17, only the higher of the two allocations will apply for funding purposes. All other programmatic requirements are based on the most current accountability status and improvement plan for the school.

Allowable Activities

Districts must target funds toward the area(s) of identification and subgroup(s) identified for improvement. Title I School Improvement 1003(a) funds may not be used for any school level activities in Non-Title I schools. Funds may only be used for activities allowed under Title I and must be used for mandated improvement activities.

1003(a) School Improvement Grant funds cannot be used to meet the Focus District Parent Education requirement, but additional Parent Education activities may be funded with 1003(a) grants after the Focus District requirement has been met with Title I, Part A funds.

Please Note: There is no carryover for these funds. All activities must be encumbered during the project period below. Funds under this grant may not be used for construction, renovation, furnishings, or acquisition of technology.

All Focus Districts must submit their 2016-17 DCIP and SCEPs to NYSED no later than July 31, 2016. All DCIP and SCEP documents must be publically posted online no later than the first day of the 2016-2017 school year. Additional information regarding district and school improvement requirements under the ESEA Flexibility waiver may be found at: www.p12.nysed.gov/accountability/ESEAFlexibilityWaiver.html.

Grant/Project Period

September 1, 2016 to August 31, 2017

Application Due Date

August 31, 2016

Budget Amendment Deadline

All budget amendments are subject to review and approval. Amendments to add new activities must be postmarked and submitted electronically no later than **June 30, 2017**. Amendments must be submitted with sufficient time for review of any new activities.

Amendments to adjust costs for approved activities or adjust fund codes can be accepted at any time during the project period; however supplies exceeding 10% of an activity

cost requires a full review and must be submitted by June 30, 2017. Late amendments will not be accepted.

Submission Instructions

This is a district grant and only one grant may be submitted by the district for all allowable activities and eligible schools. A complete application consists of **one original** bearing the original signature of the Superintendent and **one electronic copy** (email to SIGA@nysed.gov) of the following:

- Cover page with original signature
- Title I School Improvement Grant Allocation Chart
- Title I School Improvement Grant Program Narrative Chart
- FS-10 Budget Form with original signature (www.oms.nysed.gov/cafe/forms/)

Please do not submit the instructional materials (pages "i" through "vii") or the Assurances and Certification Regarding Lobbying, etc. (pages 5-11) with the application.

Assurance and Certification documents should be kept on file with the submitted application by the district.

Send applications to:

Attn: Title I School Improvement, 1003(a) Application

New York State Education Department
Title I School & Community Services, Room 318 EB
89 Washington Avenue
Albany, New York 12234

Send an electronic copy to SIGA@nysed.gov. Please include your **DISTRICT NAME** in the subject line of all e-mail submissions.

For additional information or assistance please contact: SIGA@nysed.gov.

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Use of Funds Guidance

1. Title I School Improvement Grant - Section 1003(a) funds expended by the district on Mandated Activities 1-5 count towards the district's required 5% to 15% Improvement Reserve.
2. Focus Districts must first use Title I School Improvement Grant - Section 1003(a) funds to pay for Focus District Mandated Activities 1, 2, and 3.
3. If a Focus District has Title I School Improvement Grant - Section 1003(a) funds remaining after paying for Focus District Mandated Activities 1, 2 and 3, these funds may then be used to support Mandated Activities 4 and 5.
4. Title I School Improvement Grant - Section 1003(a) funds allocated to districts to support Local Assistance Plan implementation must be used for that purpose only and cannot count towards the minimum set-aside requirement.
5. If a Focus District has exhausted its Title I School Improvement Grant - Section 1003(a) before meeting the requirements for Mandated Activities 1, 2 and 3, then the district must utilize other resources to pay for these activities. These funds count towards meeting the district's 5% to 15% set aside.
6. A district must meet its obligations to provide public school choice to all students who attend Title I Priority and Focus Schools and to provide 200 hours of extended learning time to students who attend Title I Priority Schools (Mandated Activity 4b). However, these services must be provided to all eligible students, even if doing so requires the district to expend funds in excess of its set aside amount.
7. If a district, after having met its obligations pursuant to Mandated Activities 1-4, has not met its 5% to 15% set aside, then it must use the remaining set aside funds to support Mandated Activity 5.

Focus District Parent Education and Parental Involvement Set-Asides

8. Title I School Improvement Grant - Section 1003(a) funds cannot be used to meet the Focus District Parent Education (previously Parent Engagement) requirement, but additional Parent Education activities may be funded with 1003(a) grants after the Focus District requirement has been met with Title I, Part A funds.
9. Title I School Improvement Grant - Section 1003(a) funds can never be used to meet the Title I Parental Involvement requirement. Only regular Title I, Part A funds may be used for this purpose.

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Mandated Focus District Activities

1. DTSDE TRAINING AND DTSDE REVIEW

- a. Participation in DTSDE training and implementation of DTSDE reviews, including required surveys.

2. PLAN DEVELOPMENT

- a. Participation in training for and development of District Comprehensive Improvement Plan (DCIP), School Comprehensive Education Plans (SCEPs) and/or Strategic Plans for School Excellence (SPSE).

3. EVALUATION

- a. Review of Qualifications of Priority and Focus School Leaders.
- b. Work with an independent evaluator to monitor and evaluate fidelity of program implementation.
- c. Submission of quarterly leading indicators report to NYSED.

4. OTHER MANDATED FOCUS DISTRICT ACTIVITIES

- a. Provision of Public School Choice to students attending Title I Priority and Focus Schools.
- b. Provision of 200 hours of Extended Learning Time Programming to students in Priority Schools.

5. IMPLEMENTATION OF DCIP and SCEPs

- a. Funding to sustain and/or implement a whole school reform model in a Priority School.
- b. Funding to implement a whole school reform model principle in a Focus School.
- c. Funding to implement a community school model or advanced coursework/CTE program in a Priority or Focus School.
- d. Funding to support other DTSDE recommendations.

6. IMPLEMENTATION OF LOCAL ASSISTANCE PLANS

- a. Funding to support implementation of Local Assistances Plans (LAPs) in Title I LAP Schools (1003(a) Funds only).

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Program Narrative Chart Instructions

1. Funds may only be used for the improvement activities described on the chart, consistent with the Mandated Focus District Activities detailed on page v.
2. All eligible districts must mark the most appropriate checkbox for **each** Activity in the chart. In addition to selecting the appropriate checkbox:
 - a. Title I Focus Districts Identified for 2016-17 must provide a description of the specific activities to be completed for Mandated Activities 1, 2, 3, 4, and 5 and may provide descriptions for Mandated Activity 6 (if the district has LAP schools).
 - b. Title I Good Standing Districts with 1+ Title I LAP Schools must provide a description of the specific activities to be completed for Mandated Activity 6.
 - c. 2015-2016 Title I Focus Districts Removed from Status in 2016-17 must provide a description of the specific activities to be completed for Mandated Activity 5 and may provide responses for Mandated Activities 1, 2, 3, 4, and 6 as applicable.
3. Districts with more than three (3) identified schools should use separate charts for the district and each school. Districts with up to three (3) identified schools may use a single chart for both district and school activities as appropriate.
4. Provide the projected costs, by budget code, for all activities supported with Title I School Improvement Grant 1003(a) Funds listed on the Program Narrative Chart.
5. The projected costs identified for each Budget Code on the Title I School Improvement Grant Program Narrative Chart should align with the totals provided on the FS-10 Budget Form. Budget codes with no projected cost associated for a given activity may be deleted from the chart or entered as "\$0."
6. Detailed cost calculations (units/rate/cost) are required on the FS-10 Budget Form for approval. Reviewers must see the rates and amounts used to generate costs for each activity to determine whether the costs are reasonable. Responses that are blank or contain "TBD" or "Varies" cannot be approved. All travel costs (lodging, per diem, mileage reimbursement) must conform to NYS approved travel rates and regulations.
7. Costs listed on the FS-10 related to the implementation of Local Assistance Plans must be clearly labeled as "LAP."
8. Title I School Improvement 1003(a) funds may not be used for any school level activities in Non-Title I schools.
9. Information about allowable/unallowable expenses is found in the **Allowable & Unallowable Expenses Chart** (page vii).

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Allowable & Unallowable Expenses

ALLOWABLE Activities	UNALLOWABLE Activities
<ul style="list-style-type: none">• Substitutes or overtime for staff participating in required activities• Administration of parent, teacher, and/or student surveys required for DTSDE reviews• Consultants needed for required activities• Registration fees that EXCLUDE meals• Reasonable supplies• Travel costs for staff attending training (mileage, tolls, parking, train fare, taxis, per diem, lodging, etc.)• Travel must conform to NYS travel rates and regulations• Indirect cost up to \$25,000 per contract	<ul style="list-style-type: none">• DTSDE Registration fees and any registration fees that include meals cannot be paid with federal funds.• Contract hours for school principals or mandated staff positions• Instructional materials for core courses• School costs for reviews and surveys in Non-Title I buildings• Curriculum development for new credit bearing core courses• Food or refreshments for staff activities except per diem costs during travel• Consultant travel, per diems and supplies should be included in the contractual fees and not be billed separately.• Federal funds can never be used for incentives (T-shirts, gift cards, etc.)• Indirect cost cannot be taken on contract amounts exceeding \$25,000• Construction, renovation, furnishing or acquisition of general use technology (computers, iPads, laptops, etc.)

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COVER PAGE

District:	BEDS Code:
Address:	
Program Contact Person:	Telephone:
Address of Contact:	
E-mail Address:	Fax:

I hereby certify that I am the applicant's chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, Appendix A, and that the requested budget amounts are necessary for the implementation of this project.

I further certify that the district will implement the Diagnostic Tool for School and District Effectiveness (DTSDE) or a school review (focused on DTSDE Tenet 3) with district oversight in all Focus and Priority Schools as required in Commissioner's Regulations 100.18 (h). District staff will participate in DTSDE professional development, complete the DTSDE School Self-Reflection, and administer surveys as required by NYSED. The district will contract with NYSED approved Outside Educational Experts as needed and use the DTSDE in the format and content prescribed by the Commissioner for all Focus and Priority Schools. The district will submit all required reports as required by NYSED.

It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

Authorized Signature of Chief School/Administrative Officer (**in blue ink**)

Typed Name:	Date:
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ALLOCATION CHART

District Name:	BEDS Code:
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1. Complete rows 1-3 of the chart below based on the district's 2015-2016 and 2016-2017 Accountability Status. For example, if the district was Good Standing (GS) in 2015-2016 and has been identified as a Focus District for 2016-2017, enter "1" in the Number column in Row 3.
2. Complete rows 4-16 of the chart below based on each school's 2015-2016 and 2016-2017 Accountability Status. For example, if a school was a Local Assistance Plan (LAP) school in 2015-2016 and has been identified as a Focus School for 2016-2017, enter "1" in the Number column in Row 14.
3. For each row, multiply the amount shown in the Allocation Column by the number of eligible Title I schools. Enter the calculated amount in the Subtotal Column for that row.
4. Add the subtotals from each row and enter the Total District Allocation in Row 18.
5. The Total District Allocation is the maximum funds available for the district as of September 1, 2016. Districts may apply for some or all of the available funds in the initial application. Districts have until June 30, 2017 to revise their application.

Row	2015-16 Status	2016-17 Status	Allocation	Number	Subtotal
1	Focus District	Focus District	\$50,000		\$
2	Focus District	GS District	\$50,000		\$
3	GS District	Focus District	\$50,000		\$
4	Priority School	Title I Priority School	\$75,000		\$
5	Priority School	Title I Focus School	\$75,000		\$
6	Priority School	Title I LAP School	\$75,000		\$
7	Priority School	Title I GS School	\$75,000		\$
8	Focus School	Title I Priority School	\$75,000		\$
9	LAP School	Title I Priority School	\$75,000		\$
10	GS School	Title I Priority School	\$75,000		\$
11	Focus School	Title I Focus School	\$50,000		\$
12	Focus School	Title I LAP School	\$50,000		\$
13	Focus School	Title I GS School	\$50,000		\$
14	LAP School	Title I Focus School	\$50,000		\$
15	GS School	Title I Focus School	\$50,000		\$
16	GS School	Title I LAP School	\$20,000		\$
17	LAP School	Title I LAP School	\$20,000		\$
18	Total 2016-2017 District Allocation				\$

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PROGRAM NARRATIVE CHART

DISTRICT NAME:

Activity Description <i>Use the spaces below to describe the improvement activities to be implemented. Specific attention should be given to the manner in which these proposed activities address school-/district-level needs and goals, and are aligned to improvement plans. Use the checkboxes below to indicate whether School Improvement grant funds will be used to support identified activities.</i>	Projected Cost <i>Provide the projected costs by budget code for each activity supported with Title I SIG 1003(a) funds.</i>
<p>1. DTSDE TRAINING AND DTSDE REVIEW: Participation in DTSDE Training, including Focus District Institutes, Regional workshops, and/or DTSDE Training Reviews, and implementation of DTSDE Reviews at the district and/or school level using the DTSDE and approved DTSDE surveys during the 2016-2017 school year.</p> <p> <input type="checkbox"/> These activities do not apply to our district. <input type="checkbox"/> These activities will not have a cost for our district to complete. <input type="checkbox"/> These activities will be completed using other fund sources. <input type="checkbox"/> These activities will be completed using SIG 1003(a) grant funds. </p> <p>Activity Descriptions:</p> <ul style="list-style-type: none"> • • 	<p>Code 15 - \$ Code 16 - \$ Code 40 - \$ Code 45 - \$ Code 46 - \$ Code 80 - \$ Code 90 - \$ Code 49 - \$</p>
<p>2. 2017-2018 PLAN DEVELOPMENT: Participation in development of the 2017-2018 District Comprehensive Improvement Plan (DCIP), 2017-2018 School Comprehensive Education Plans (SCEPs), and/or 2017-2018 Strategic Plans for School Excellence (SPSE).</p> <p> <input type="checkbox"/> These activities do not apply to our district. <input type="checkbox"/> These activities will not have a cost for our district to complete. <input type="checkbox"/> These activities will be completed using other fund sources. <input type="checkbox"/> These activities will be completed using SIG 1003(a) grant funds. </p> <p>Activity Descriptions:</p> <ul style="list-style-type: none"> • • 	<p>Code 15 - \$ Code 16 - \$ Code 40 - \$ Code 45 - \$ Code 46 - \$ Code 80 - \$ Code 90 - \$ Code 49 - \$</p>
<p>3. EVALUATION: (a) Review of qualifications of Priority and Focus School leaders, (b) work with independent evaluators to monitor and evaluate fidelity of program implementation, and (c) submission of required leading indicator reports to NYSED during the 2016-2017 school year.</p> <p> <input type="checkbox"/> These activities do not apply to our district. <input type="checkbox"/> These activities will not have a cost for our district to complete. <input type="checkbox"/> These activities will be completed using other fund sources. <input type="checkbox"/> These activities will be completed using SIG 1003(a) grant funds. </p> <p>Activity Descriptions:</p> <ul style="list-style-type: none"> • • 	<p>Code 15 - \$ Code 16 - \$ Code 40 - \$ Code 45 - \$ Code 46 - \$ Code 80 - \$ Code 90 - \$ Code 49 - \$</p>

2016-17 Title I School Improvement Grant - Section 1003(a) Basic School Improvement Grant Application

PROGRAM NARRATIVE CHART

DISTRICT NAME:	
<p style="text-align: center;">Activity Description</p> <p style="text-align: center;"><i>Use the spaces below to describe the improvement activities to be implemented. Specific attention should be given to the manner in which these proposed activities address school-/district-level needs and goals, and are aligned to improvement plans. Use the checkboxes below to indicate whether School Improvement grant funds will be used to support identified activities.</i></p>	<p style="text-align: center;">Projected Cost</p> <p style="text-align: center;"><i>Provide the projected costs by budget code for each activity supported with Title I SIG 1003(a) funds.</i></p>
<p>4. OTHER MANDATED FOCUS DISTRICT ACTIVITIES: Provision of (a) Public School Choice at Title I Priority and Focus Schools and (b) 200 hours of Extended Learning Time Programming to student in Priority Schools.</p> <p> <input type="checkbox"/> These activities do not apply to our district. <input type="checkbox"/> These activities will not have a cost for our district to complete. <input type="checkbox"/> These activities will be completed using other fund sources. <input type="checkbox"/> These activities will be completed using SIG 1003(a) grant funds. </p> <p>Activity Descriptions:</p> <ul style="list-style-type: none"> • • 	<p>Code 15 - \$ Code 16 - \$ Code 40 - \$ Code 45 - \$ Code 46 - \$ Code 80 - \$ Code 90 - \$ Code 49 - \$</p>
<p>5. IMPLEMENTATION OF DCIP, SCEP AND SPSE: (a) Sustain or implement a whole school reform model, (b) Implement a whole school reform model principle, Implement a community school model or advance coursework/CTE program, and (d) Support other DTSDE recommendations in Focus and Priority Schools.</p> <p> <input type="checkbox"/> These activities do not apply to our district. <input type="checkbox"/> These activities will not have a cost for our district to complete. <input type="checkbox"/> These activities will be completed using other fund sources. <input type="checkbox"/> These activities will be completed using SIG 1003(a) grant funds. </p> <p>Activity Descriptions:</p> <ul style="list-style-type: none"> • • 	<p>Code 15 - \$ Code 16 - \$ Code 40 - \$ Code 45 - \$ Code 46 - \$ Code 80 - \$ Code 90 - \$ Code 49 - \$</p>
<p>6. IMPLEMENTATION OF LOCAL ASSISTANCE PLANS: Implementation of LAP activities to address identified needs and achieve specific goals in Title I LAP schools.</p> <p> <input type="checkbox"/> These activities do not apply to our district. <input type="checkbox"/> These activities will not have a cost for our district to complete. <input type="checkbox"/> These activities will be completed using other fund sources. <input type="checkbox"/> These activities will be completed using SIG 1003(a) grant funds. </p> <p>Activity Descriptions:</p> <ul style="list-style-type: none"> • • 	<p>Code 15 - \$ Code 16 - \$ Code 40 - \$ Code 45 - \$ Code 46 - \$ Code 80 - \$ Code 90 - \$ Code 49 - \$</p>
<p>Total Title I School Improvement Grant - Section 1003(a) Budget</p>	
<p style="text-align: right;">\$</p>	

Assurances

The following assurances are a component of your application. By signing the certification on the application cover page you are ensuring accountability and compliance with state and federal laws, regulations, and grants management requirements and certifying that you have read and will comply with the following assurances and certifications.

Federal Assurances and Certifications, General:

- Assurances – Non-Construction Programs
- Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions
- General Education Provisions Act Assurances

Federal Assurances and Certifications, NCLB (if appropriate):

The following are required as a condition for receiving any federal funds under the Elementary and Secondary Education Act, as amended by the No Child Left Behind Act of 2001.

- NCLB Assurances
- School Prayer Certification

General Federal Assurances

1. The program will be administered in accordance with all applicable statutes, regulations, program plans and applications;
2. Each LEA shall assure its compliance with all supplement not supplant requirements;
3. (a) The control of funds provided under each program and title to property acquired with program funds will be in a public agency or in a non-profit private agency, institution, organization, or Indian tribe, if the law authorizing the program provides for assistance to those entities; (b) the public agency, nonprofit private agency, institution or organization, or Indian tribe will administer the funds and property to the extent required by the authorizing statutes;
4. The applicant will adopt and use proper methods of administering each such program, including (a) the enforcement of any obligations imposed by law on agencies, institutions, organizations, and other recipients responsible for carrying out each program; and (b) the correction of deficiencies in program operations that are identified through audits, monitoring, or evaluation;
5. The applicant will cooperate in carrying out any evaluation of each such program conducted by or for the State educational agency, the Secretary, or other Federal officials;
6. The applicant will use such fiscal control and fund accounting procedures as will ensure proper disbursement of, and accounting for, Federal funds paid to the applicant under each such program;
7. The applicant agrees to comply with the following civil rights authorities, their implementing regulations, and appropriate federal and State guidelines: Title VI of the Civil Rights Act of 1964, Title IX of the Federal Educational Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

As the duly authorized representative of the applicant, and by signing the application cover page, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction sub agreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.), which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Standard Form 424B (Rev. 7-97), Prescribed by OMB Circular A-102, Authorized for Local Reproduction, as amended by New York State Education Department

CERTIFICATIONS REGARDING LOBBYING

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of the Application Cover Page provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
- (c) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including sub grants, contracts under grants and cooperative agreements, and subcontracts) and that all sub recipients shall certify and disclose accordingly.

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION — LOWER TIER COVERED TRANSACTIONS

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing the Application Cover Page, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

ED 80-0014, as amended by the New York State Education Department

GENERAL EDUCATION PROVISIONS ACT ASSURANCES

These assurances are required by the General Education Provisions Act for certain programs funded by the U.S. Department of Education.

As the authorized representative of the applicant, by signing the application cover page, I certify that:

- (1) that the local educational agency will administer each program covered by the application in accordance with all applicable statutes, regulations, program plans, and applications;
- (2) that the control of funds provided to the local educational agency under each program, and title to property acquired with those funds, will be in a public agency and that a public agency will administer those funds and property;
- (3) that the local educational agency will use fiscal control and fund accounting procedures that will ensure proper disbursement of, and accounting for, Federal funds paid to that agency under each program;
- (4) that the local educational agency will make reports to the State agency or board and to the Secretary as may reasonably be necessary to enable the State agency or board and the Secretary to perform their duties and that the local educational agency will maintain such records, including the records required under section [1232f](#) of this title, and provide access to those records, as the State agency or board or the Secretary deem necessary to perform their duties;
- (5) that the local educational agency will provide reasonable opportunities for the participation by teachers, parents, and other interested agencies, organizations, and individuals in the planning for and operation of each program;
- (6) that any application, evaluation, periodic program plan or report relating to each program will be made readily available to parents and other members of the general public;
- (7) that in the case of any project involving construction –
 - (A) the project is not inconsistent with overall State plans for the construction of school facilities, and
 - (B) in developing plans for construction, due consideration will be given to excellence of architecture and design and to compliance with standards prescribed by the Secretary under section [794](#) of title [29](#) in order to ensure that facilities constructed with the use of Federal funds are accessible to and usable by individuals with disabilities;
- (8) that the local educational agency has adopted effective procedures for acquiring and disseminating to teachers and administrators participating in each program significant information from educational research, demonstrations, and similar projects, and for adopting, where appropriate, promising educational practices developed through such projects; and
- (9) that none of the funds expended under any applicable program will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization.